

Fig-1

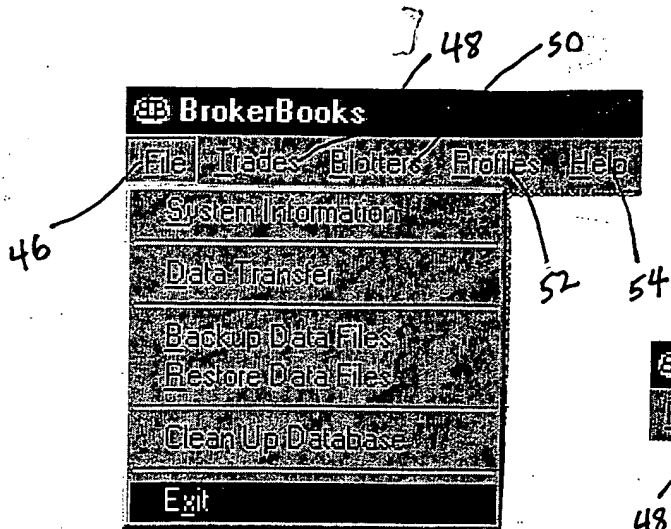


FIGURE 2A

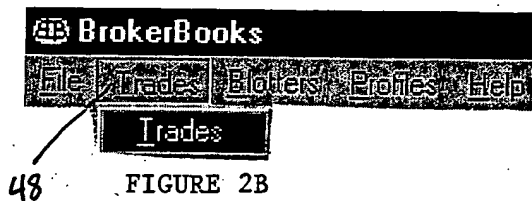


FIGURE 2B

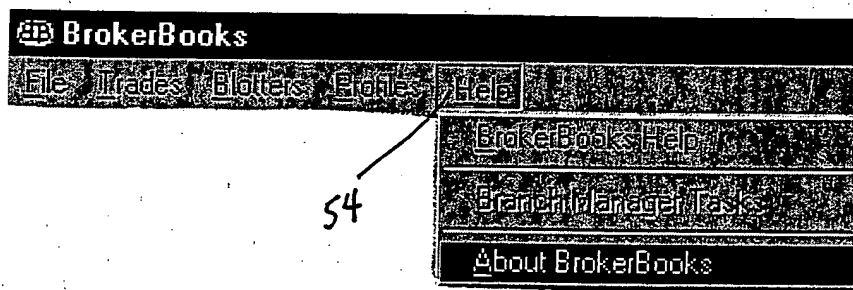


FIGURE 2E

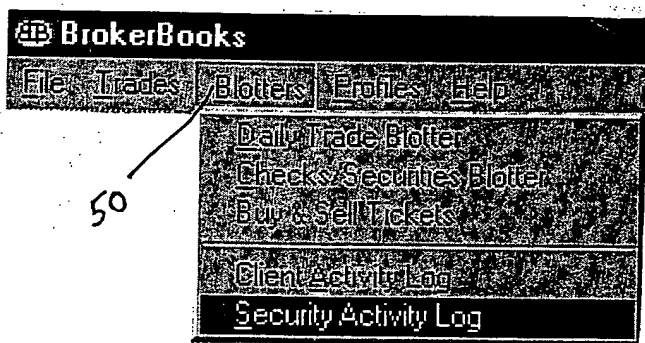


FIGURE 2C

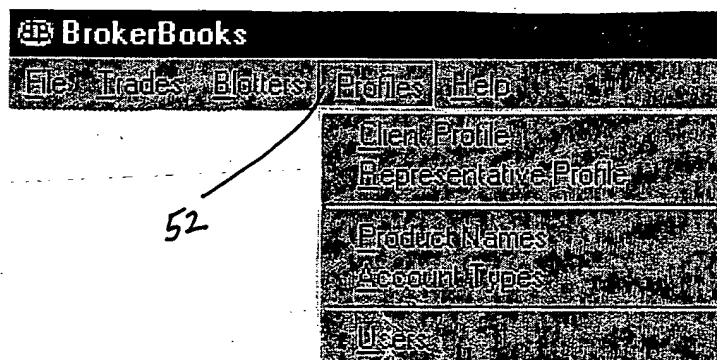


FIGURE 2D

Fig-3

SELECT TRADES
FROM TRADE MENU

88)

THE TRADES SCREEN
WILL APPEAR, CONTAINING
MULTIPLE INFORMATION
TABS.

90)

COMPLETE THE CLIENT
INFORMATION IN THE
CLIENT INFORMATION TAB
SECTION.

92)

SELECT THE TRADE
INFORMATION TAB.

93)

COMPLETE THE TRADE
INFORMATION IN THE TRADE
INFORMATION TAB
SECTION.

94)

THE APPROPRIATE
INDIVIDUAL TRADE TAB
WILL BE HIGHLIGHTED
TO ALLOW DATA ENTRY
OF INFO. CONCERNING
THE PRODUCT TRADED.
COMPLETE THE
APPROPRIATE INDIVIDUAL
TRADE TAB INFORMATION.

96)

ONCE ALL THE TRADE
INFORMATION HAS BEEN
ENTERED, SELECT THE
SAVE RECORD TOOLBAR
BUTTON.

98

Fig_4

100)

TO VIEW TRADE
SUMMARY INFORMATION
IN A SPREADSHEET
FORMAT, SELECT THE
BROWSE TRADE RECORDS
BUTTON IN THE LOWER LEFT
CORNER OF THE TRADES
SCREEN.

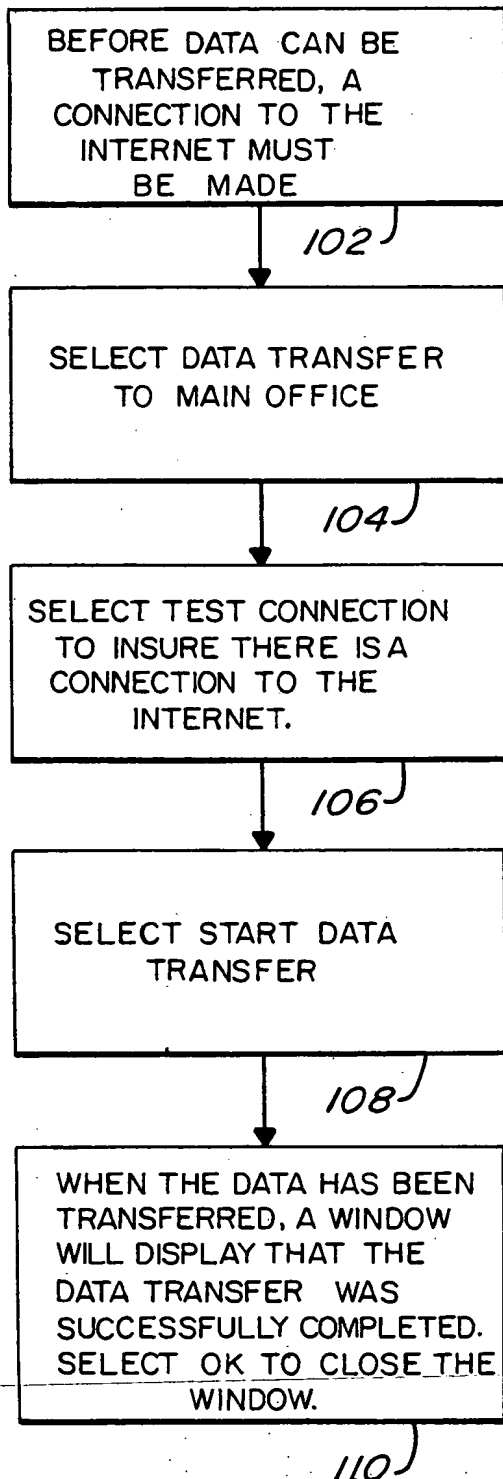


Fig-5

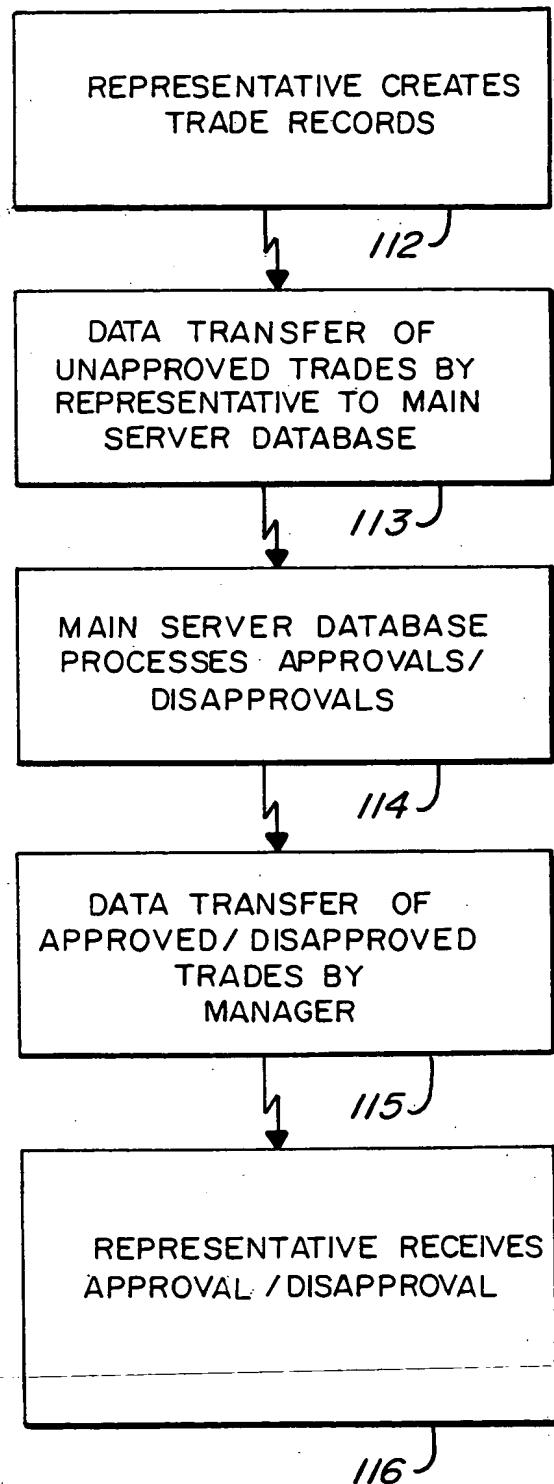
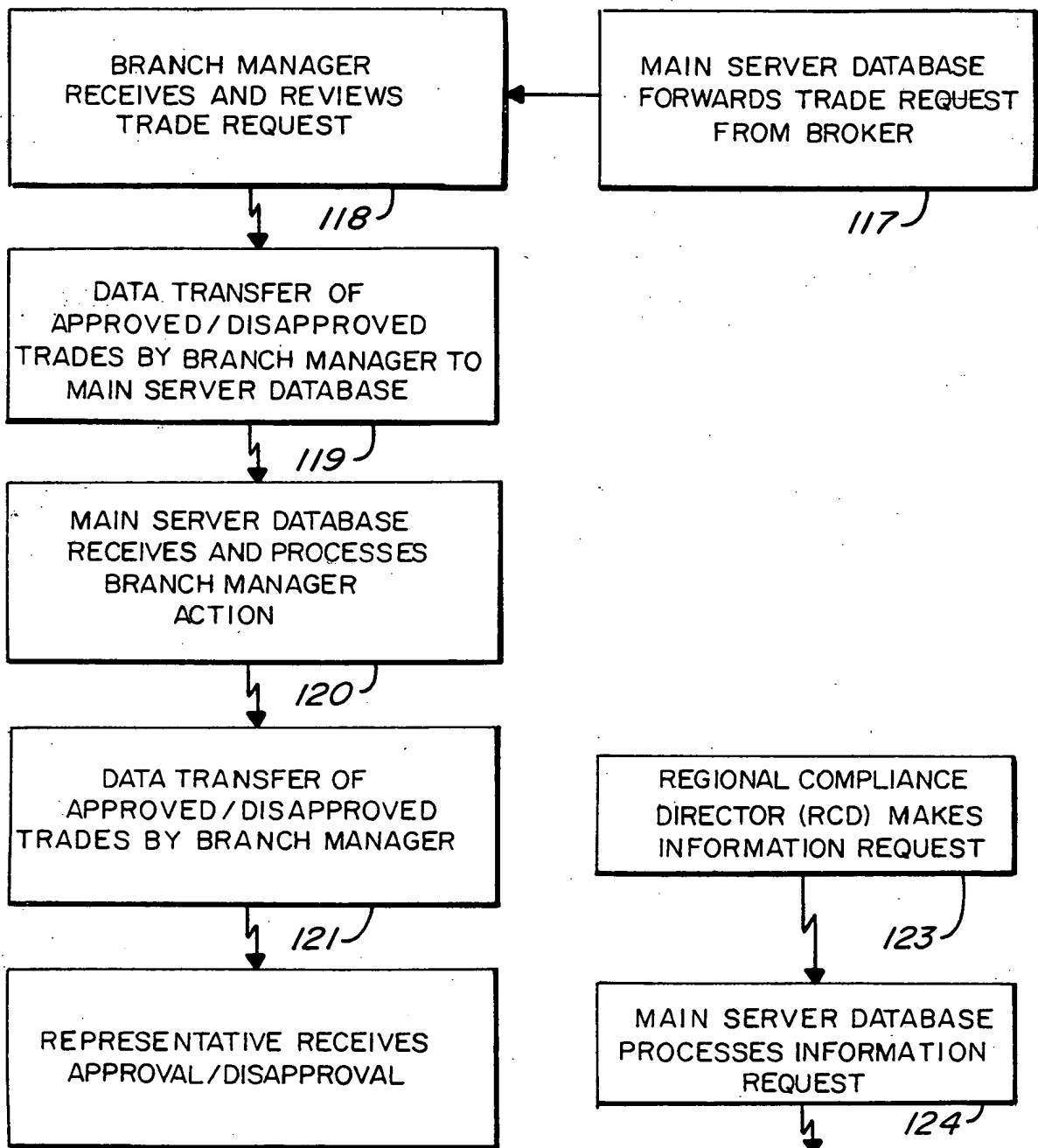
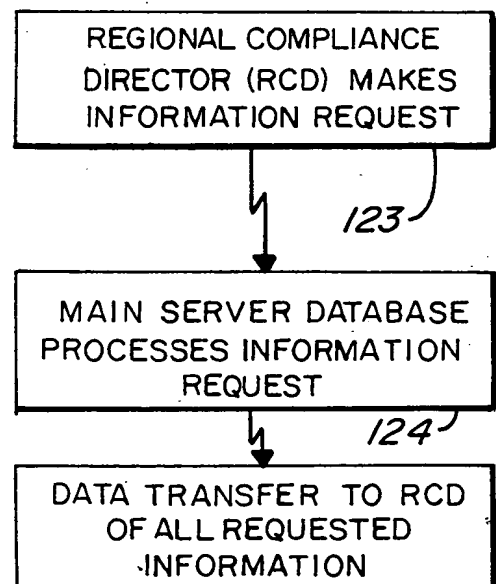


Fig-6



Fig_7 122



Fig_8 125

FIGURE 9

FIGURE 9

FIGURE 10

FIGURE 11

FIGURE 12

FIGURE 13

FIGURE 13

Trades

Client Info.

Trade Info.

Stock & Bond Info.

Mutual Fund Info.

Option Info.

Variables

Taylor, John

☐ Calls

☐ Puts

☒ Spreads

☐ Straddles

☐ Open

☐ Close

☒ Covered

☐ Uncovered

156

FIGURE 14

Trades

Client Info

Trade Info

Stock & Bond Info

Mutual Fund Info

Option Info

Variable

Taylor, John

Variable

Life

Annuity

Face Amount

566

Modal Premium

1,230

Lump Sum

☐ 1035 Exchange

1035 Approximate Amount

158

1035 Exchange

1035 Approximate Amount

Test Connection

Start Data Transfer

Connection Status

[illegible]

Messages Sent

This image shows a blank page from a document. The page is mostly white with some minor scanning artifacts. There is a prominent dark, textured border along the top edge, which appears to be part of the document's header or a binding element. A similar, though less distinct, border is visible along the left edge. The rest of the page is empty.

Messages Received

[illegible]

33

Cancel

FIGURE 16

Trades - Press Escape key or click outside of window to exit[illegible]

FIGURE 17

12/28/99 0948 A.M.

168

Daily Trade Blotter

Date	Client Name	Account Number	Buy Sell	Qty Traded	Product	Price	Exec Price	\$ Amt	Rep No.	Initials
12/28/99	Smith, Jane	#7	Buy	750.0000	Gold Models	860.0000	0.0000	0.00	4000	
12/28/99	Doe, John	#5	Buy	0.0000	Caesar Marketing	0.0000	0.0000	0.00	2000	
12/28/99	Taylor, John	#1	Sell	0.0000	MGM Grand Hotel	0.0000	0.0000	0.00	3000	
12/28/99	Taylor, John	#2	Buy	0.0000	Deluxe Travel Systems	0.0000	0.0000	5,000.00	4000	
12/28/99	Taylor, John	#2	Buy	0.0000	Caesar Marketing	0.0000	0.0000	0.00	4000	
12/28/99	Doe, John	#5	Buy	0.0000	Deluxe Travel Systems	0.0000	0.0000	2,500.00	4000	
12/28/99	Taylor, John	#2	Buy	50.0000	Deluxe Travel Systems	300.0000	0.0000	0.00	2000	
12/28/99	Smith, Jane	#7	Buy	5.0000	MGM Grand Hotel	12.0000	0.0000	0.00	3000	
12/28/99	Smith, Jane	#7	Buy	5.0000	MGM Grand Hotel	40.0000	0.0000	4,500.00	4000	
12/28/99	Taylor, John	#2	Sell	40.0000	Gold Models	80.0000	0.0000	490.00	4000	
12/28/99	Smith, Jane	#7	Buy	0.0000	Caesar Marketing	0.0000	0.0000	0.00	3000	

FIGURE 18

	1970	1971	1972	1973	1974	1975	1976	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	2036	2037	2038	2039	2040	2041	2042	2043	2044	2045	2046	2047	2048	2049	2050	2051	2052	2053	2054	2055	2056	2057	2058	2059	2060	2061	2062	2063	2064	2065	2066	2067	2068	2069	2070	2071	2072	2073	2074	2075	2076	2077	2078	2079	2080	2081	2082	2083	2084	2085	2086	2087	2088	2089	2090	2091	2092	2093	2094	2095	2096	2097	2098	2099	2100	2101	2102	2103	2104	2105	2106	2107	2108	2109	2110	2111	2112	2113	2114	2115	2116	2117	2118	2119	2120	2121	2122	2123	2124	2125	2126	2127	2128	2129	2130	2131	2132	2133	2134	2135	2136	2137	2138	2139	2140	2141	2142	2143	2144	2145	2146	2147	2148	2149	2150	2151	2152	2153	2154	2155	2156	2157	2158	2159	2160	2161	2162	2163	2164	2165	2166	2167	2168	2169	2170	2171	2172	2173	2174	2175	2176	2177	2178	2179	2180	2181	2182	2183	2184	2185	2186	2187	2188	2189	2190	2191	2192	2193	2194	2195	2196	2197	2198	2199	2200	2201	2202	2203	2204	2205	2206	2207	2208	2209	2210	2211	2212	2213	2214	2215	2216	2217	2218	2219	2220	2221	2222	2223	2224	2225	2226	2227	2228	2229	2230	2231	2232	2233	2234	2235	2236	2237	2238	2239	2240	2241	2242	2243	2244	2245	2246	2247	2248	2249	2250	2251	2252	2253	2254	2255	2256	2257	2258	2259	2260	2261	2262	2263	2264	2265	2266	2267	2268	2269	2270	2271	2272	2273	2274	2275	2276	2277	2278	2279	2280	2281	2282	2283	2284	2285	2286	2287	2288	2289	2290	2291	2292	2293	2294	2295	2296	2297	2298	2299	2300	2301	2302	2303	2304	2305	2306	2307	2308	2309	2310	2311	2312	2313	2314	2315	2316	2317	2318	2319	2320	2321	2322	2323	2324	2325	2326	2327	2328	2329	2330	2331	2332	2333	2334	2335	2336	2337	2338	2339	2340	2341	2342	2343	2344	2345	2346	2347	2348	2349	2350	2351	2352	2353	2354	2355	2356	2357	2358	2359	2360	2361	2362	2363	2364	2365	2366	2367	2368	2369	2370	2371	2372	2373	2374	2375	2376	2377	2378	2379	2380	2381	2382	2383	2384	2385	2386	2387	2388	2389	2390	2391	2392	2393	2394	2395	2396	2397	2398	2399	2400	2401	2402	2403	2404	2405	2406	2407	2408	2409	2410	2411	2412	2413	2414	2415	2416	2417	2418	2419	2420	2421	2422	2
--	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	---

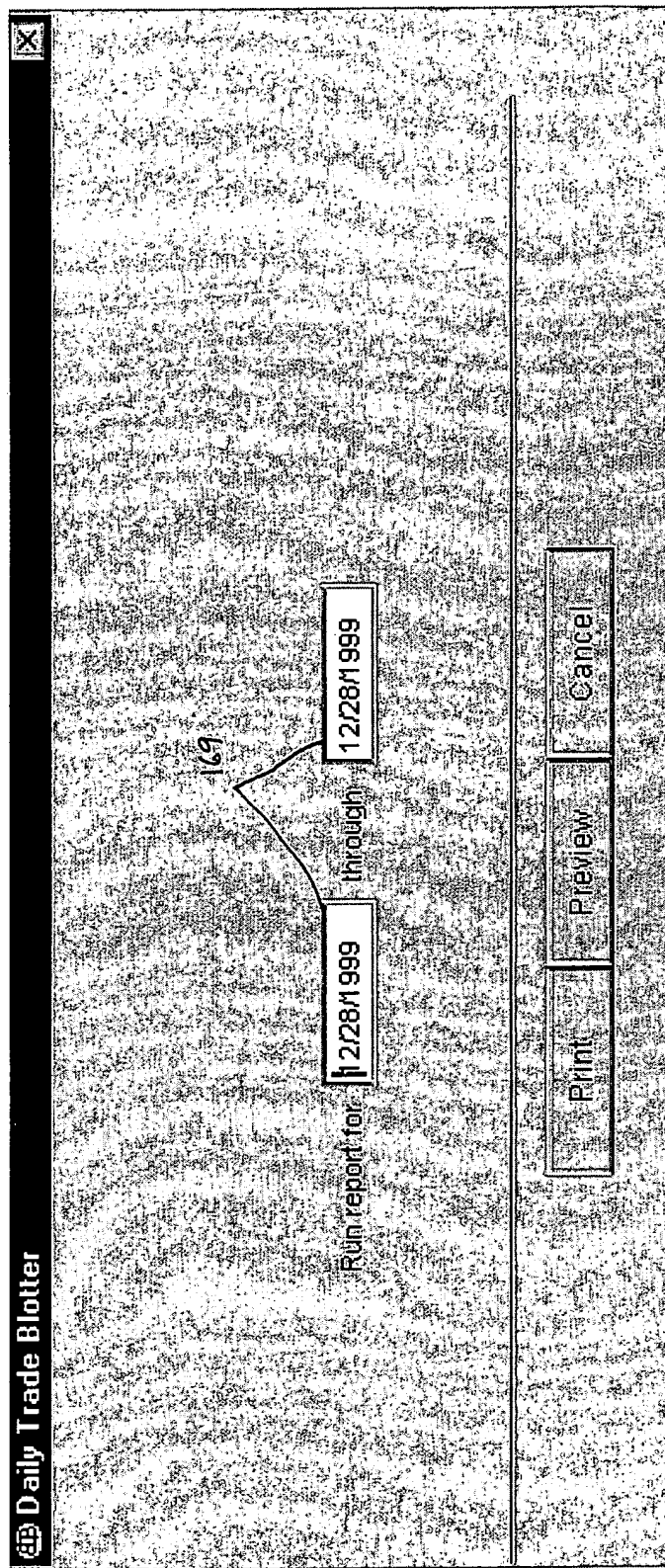


FIGURE 19

08/03/1999 09:49 AM

170

Checks/Securities Received Blotter

Ck Rec'd	Name	Description	Check No.	/ CUSIP No.	Qty	Sent To	Date Sent	Rep No.	Initials
05/02/1999	Taylor, John	Deluxe Travel Systems	2345	/		0.0000 John Doe	05/03/1999	4000	
06/01/1999	Smith, Jane	MGM Grand Hotel	6657	/ 4775		5.0000 Mary Scott	06/02/1999	4000	
06/01/1999	Doe, John	Deluxe Travel Systems	6657	/		0.0000 Brokers Ltd.	06/02/1999	4000	
06/02/1999	Taylor, John	Gold Models	9876	/		40.0000 Acorn	06/01/1999	4000	

FIGURE 20

08/03/1999 09:51 AM

172

BUY & SELL TICKET

Buy/Sell Buy	Short/Long Long	Day/Open/Market Market	Activity date 05/03/1999 09:31 AM	Settlement date / /
Quantity 750.0000	Symbol GMB	Limit amount 0.00	Execute price 0.0000	Security location
Securities Description Gold Models				
Client name Smith, Jane				Account # #7
Payment type Cash				
Rep #	4000	Brokeracct	Solicited	Unsolicited
Time	Received from client 04/29/1999 09:00 AM		Time phoned 04/30/1999 12:00 AM	
Order Placed	with Jane		by Mary	
Commission	RTE 0.00	MLT 0.00	COM 0.00	

Options

Calls/Puts/Spreads/Straddles	Calls
Open/Close/Covered/Uncovered	Open

Mutual Funds

Acct# 5634	LOI 0	ROA 0
------------	-------	-------

FIGURE 21

174  **Client Activity Log**

Name Doe, John		Company Name
Address 85776 Mulberry Lane Walnut Grove, IL 47788-		Joint Account Name Pyle, Glenda
Home Phone 614-988-3775	Business Phone	

Product	Account Type	Date	Bought		Sold		
			Qty	Price	Qty	Price	
Caesar Marketing	Trust	05/03/1999					
Deluxe Travel Systems	Trust	06/02/1999					

FIGURE 22

Figure 1. The effect of the concentration of the *Agrobacterium* strain on the transformation efficiency of *Agrobacterium* strain 101. The concentration of the *Agrobacterium* strain 101 was varied from 10⁵ to 10⁸ cells/ml. The transformation efficiency was determined by the number of transformants per 10⁵ cells of the *Agrobacterium* strain 101. The data are the mean \pm SD of three independent experiments. The transformation efficiency was significantly higher at 10⁷ cells/ml than at 10⁵ and 10⁶ cells/ml ($P < 0.05$).

08/03/1999 10:08 AM

176 **Security Activity Log**

Security Name Gold Models

Client Name	Qty Traded	Activity Date	Price
Taylor, John	40.0000	06/09/1999 08:32 AM	80.0000
Smith, Jane	750.0000	05/03/1999 09:31 AM	860.0000

FIGURE 23

000000-000000

FIGURE 24

Representative Profile

Rep ID: 4000
 Last Name: Curtis
 Address 1: 91 Dogwood Drive
 Address 2:
 Address 3:
 City: Leadville
 Country: CO
 Work Phone: 303-956-2219
 E-mail Address: scurtis@aol.com
 Office Name: Pine Branch
 Branch Office:
 OSJ Office:

Registered Investment Advisor: ☒ James
 First Name: James
 Middle Name:
 State: CO
 Zip Code: 81123
 Home Phone: 303-775-8842
 Office E-mail:
 Branch No: 200

- Enter additional license information:
- ☒ Series 63
 - ☐ Series 6
 - ☐ Series 7
 - ☐ Series 24
 - ☐ Series 26
 - ☐ Series 65
 - ☐ Insurance



FIGURE 25

208

Users

User ID	210
User First Name	212
User Middle Name	
User Last Name	214
User Level	214
Password	216

administrator
Barry
Taylor
User
shadow

Navigation icons: back, forward, search, etc.

FIGURE 26



System ID.	Record ID.	User ID.	Password	Change Date/Time
1000	1	JohnB	Books	06/16/1999 12:01:49

Changes:

Old:	Product Name: Best Funds
New:	Product Name: Enterprise Funds

System ID.	Record ID.	User ID.	Password	Change Date/Time
1000	1	JohnB	Books	06/17/1999 11:41:35

Changes:

Old:	Share/NAV Price: \$ 100.00
New:	Share/NAV Price: \$ 110.00

System ID.	Record ID.	User ID.	Password	Change Date/Time
2430	13843	JackCL	PASS	06/16/1999 12:01:49

Changes:

Old: Qty. Traded: **150**
New: Qty. Traded: **250**

System ID.	Record ID.	User ID.	Password	Change Date/Time
45330	84453	10256	ABCFGH	06/16/1999 2:10:33

Changes:

Old: Stop Limit Price: 130
New: Stop Limit Price: 165

FIGURE 27

[illegible]

211

AB Audit Report

Rep Name:

Run report for: through

Specific Branch:

FIGURE 28

212 → LOGIN REPORT

LOGINTIME	SYSTEM ID	USER ID	PASSWORD	SUCCESS
05/03/1999 09:28:00	1000	administrator	password	Yes
05/03/1999 09:43:36	1003	administrator	shadow	Yes
05/03/1999 09:44:54	1002	administrator	password	No
05/03/1999 09:46:46	1002	administrator	hazel	Yes
05/03/1999 09:46:53	1002	administrator	password	Yes
05/03/1999 09:48:34	1001	administrator	gocart	No
05/03/1999 09:49:44	1001	administrator	holly	Yes
05/03/1999 09:50:15	1003	administrator	shadow	No
05/03/1999 09:50:52	1000	administrator	password	Yes
05/03/1999 09:51:48	1002	administrator	password	Yes
05/03/1999 10:00:32	1000	administrator	houston	Yes
05/03/1999 10:36:37	1000	administrator	password	Yes
05/03/1999 10:37:03	1000	administrator	password	Yes
05/03/1999 10:39:00	1000	administrator	password	No
05/03/1999 10:39:16	1000	administrator	houseton	Yes
05/03/1999 10:55:07	1000	administrator	houston	Yes
05/03/1999 10:55:20	1000	administrator	password	Yes
05/03/1999 10:55:47	1000	administrator	orange	Yes
05/03/1999 10:56:06	1000	administrator	password	Yes
05/03/1999 10:56:40	1000	administrator	password	No
05/03/1999 10:56:55	1000	administrator	password	Yes
05/03/1999 11:07:44	1001	administrator	holly	Yes
05/03/1999 11:08:05	1001	administrator	password	Yes
05/03/1999 11:12:47	1001	administrator	notebook	No
05/03/1999 11:14:43	1002	administrator	password	Yes
05/03/1999 11:15:15	1002	administrator	password	No
05/03/1999 11:15:54	1000	administrator	password	Yes
05/03/1999 11:19:05	1001	administrator	nottebook	No
05/03/1999 11:19:23	1001	administrator	notebook	Yes
05/03/1999 11:20:14	1001	administrator	password	Yes
06/15/1999 09:25:22	1841	administrator	password	No
06/15/1999 09:26:38	1841	administrator	shopping	Yes
06/15/1999 09:29:30	1841	administrator	password	No
06/15/1999 09:55:04	1841	administrator	mountains	Yes
06/15/1999 10:07:59	1841	administrator	password	No
06/15/1999 10:45:09	1000	manager1	password	No
06/15/1999 11:05:44	1000	manager1	password	Yes

FIGURE 29

00000000-22222222

213

Logins Report

Rep Name

Smith, Kyle

Run report for

12/28/99

through

12/29/99

Specific Branch

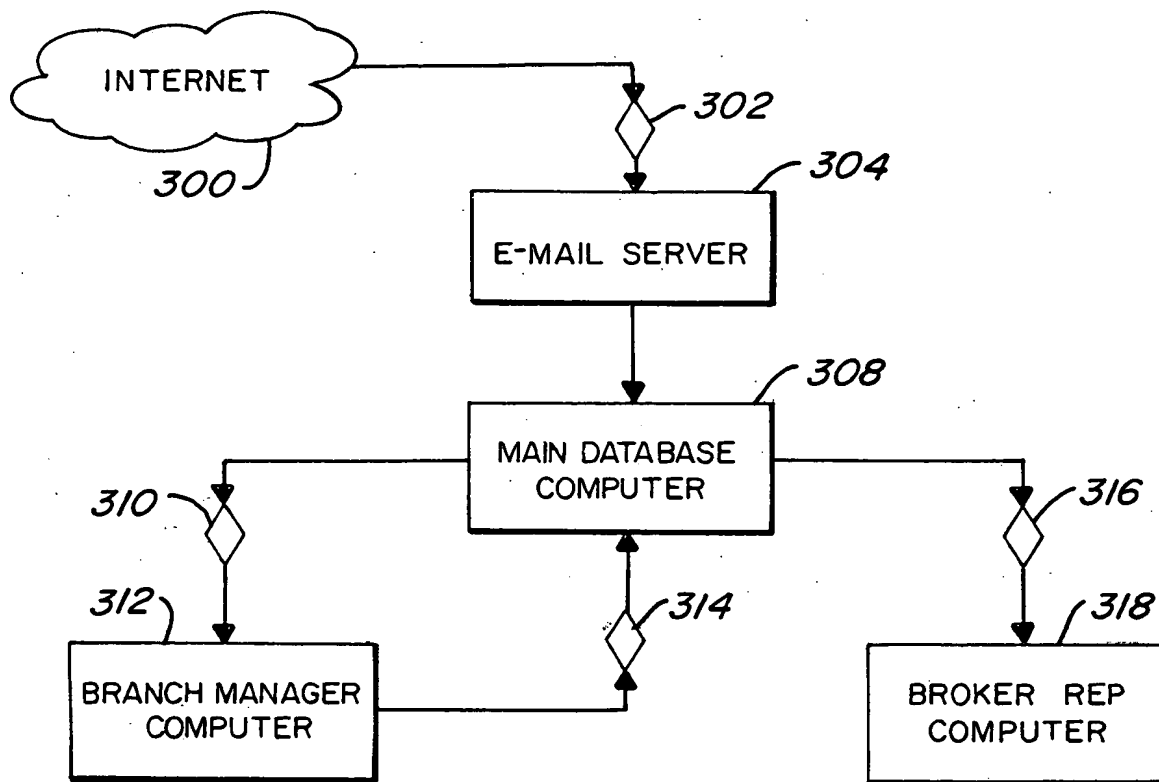
100

Print

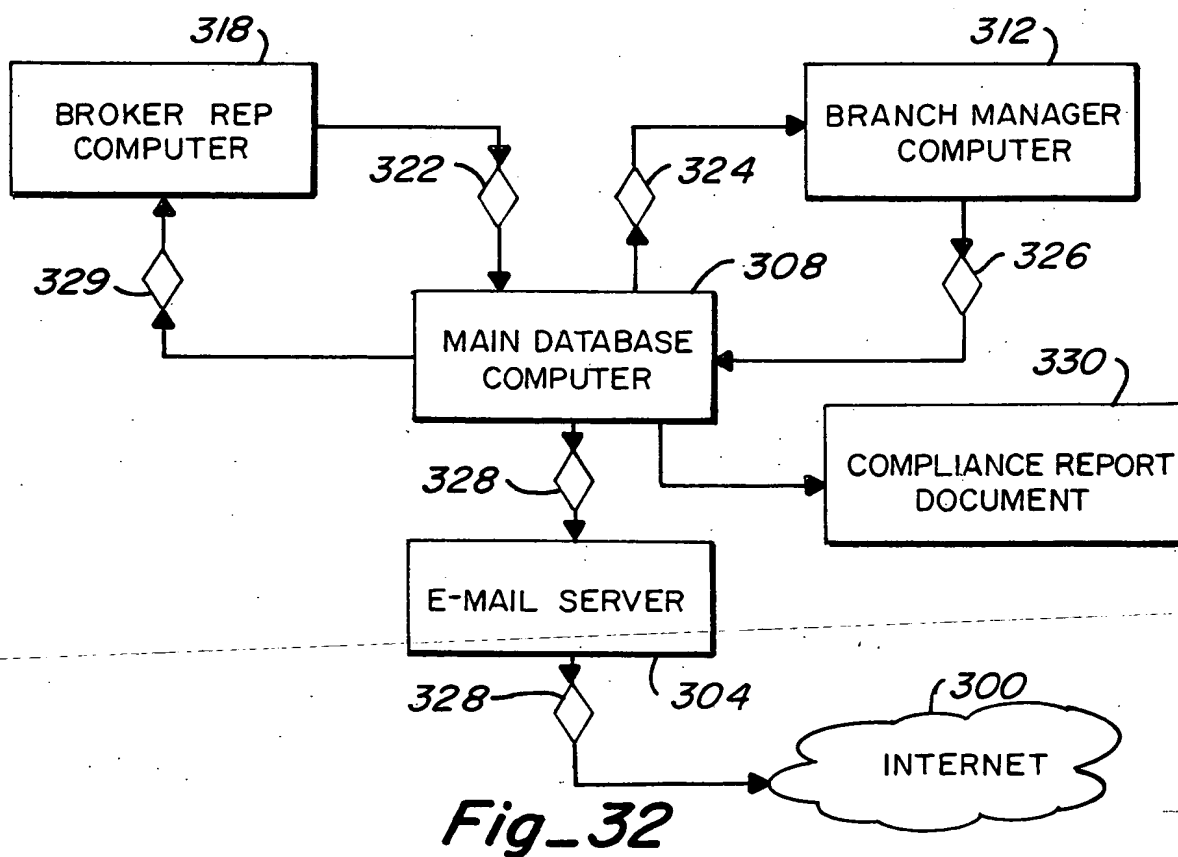
Preview

Cancel

FIGURE 30



Fig_31



Fig_32

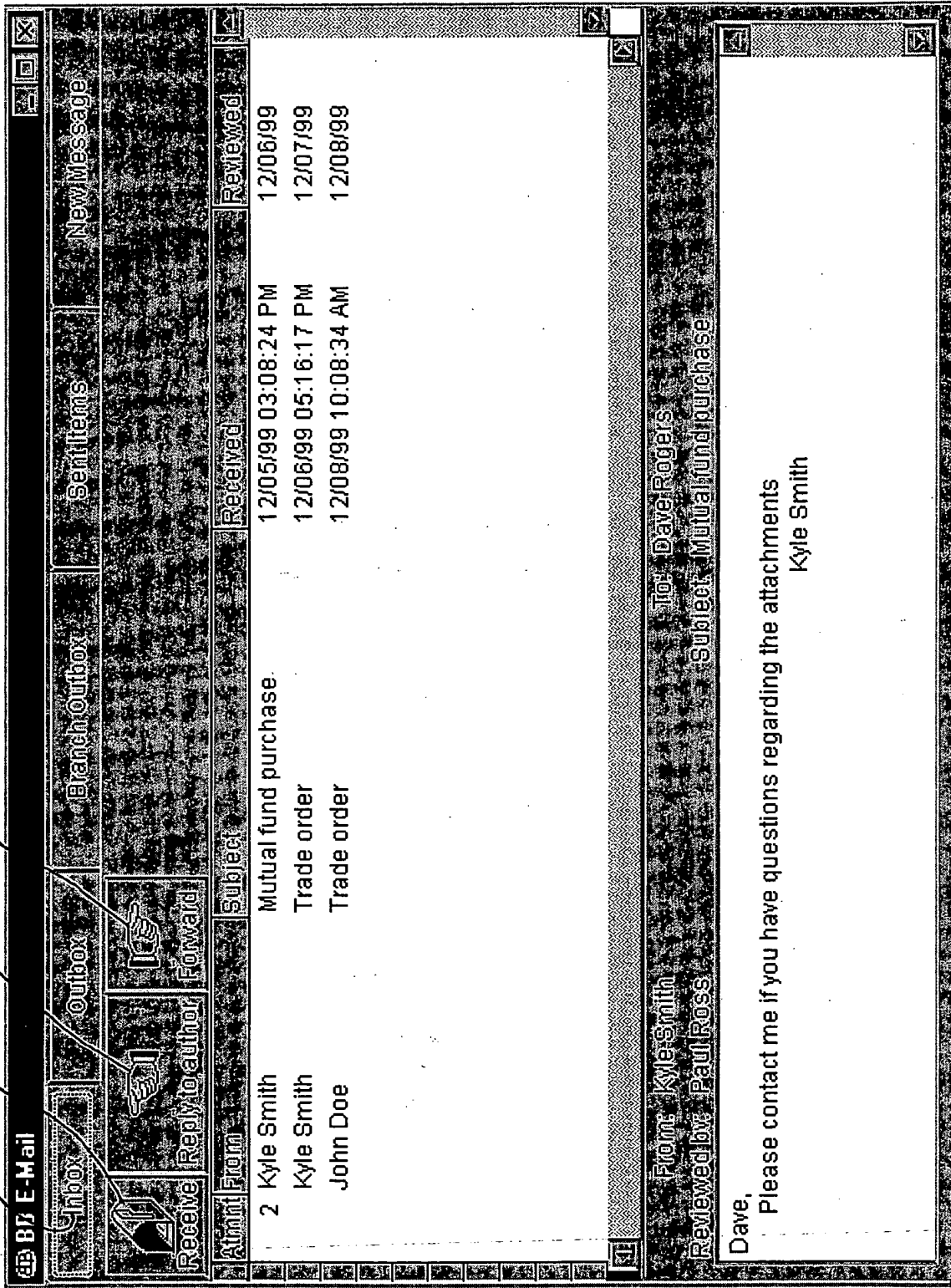


FIGURE 33

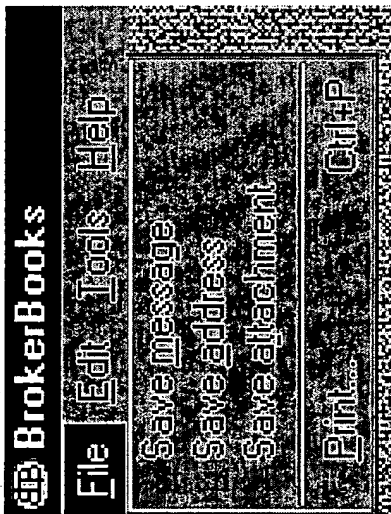


FIGURE 34

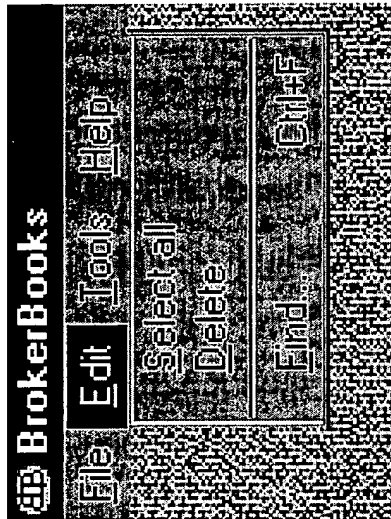


FIGURE 35

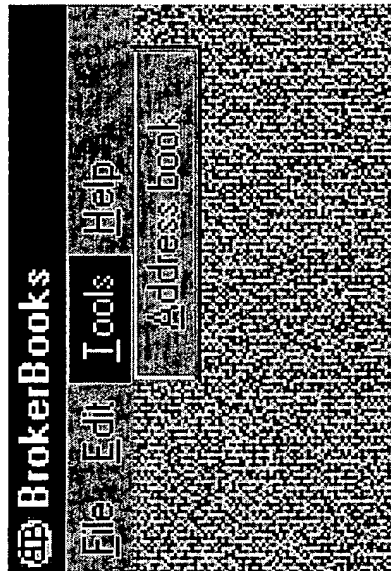


FIGURE 36

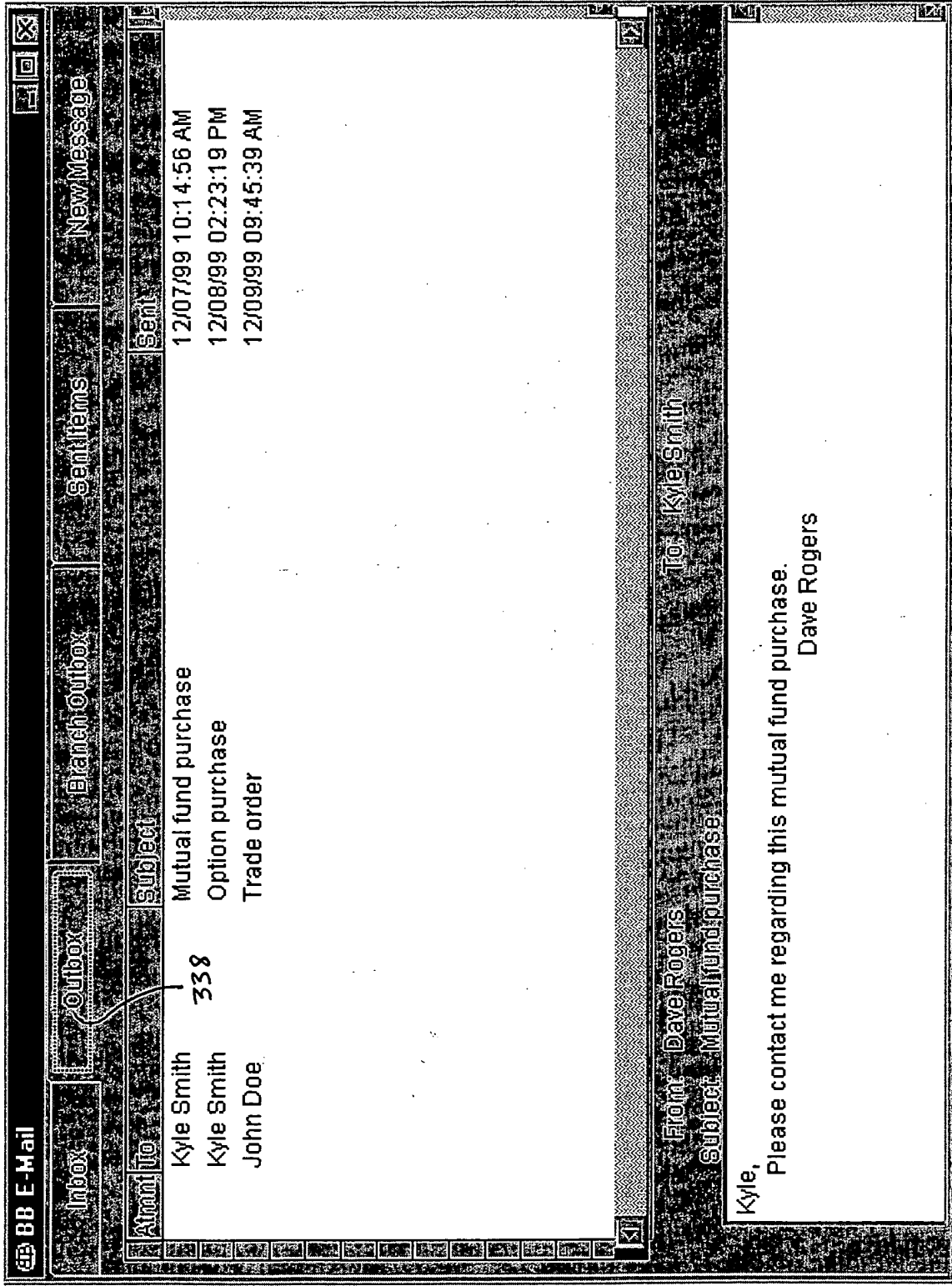


FIGURE 37

FIGURE 38

00000000000000000000

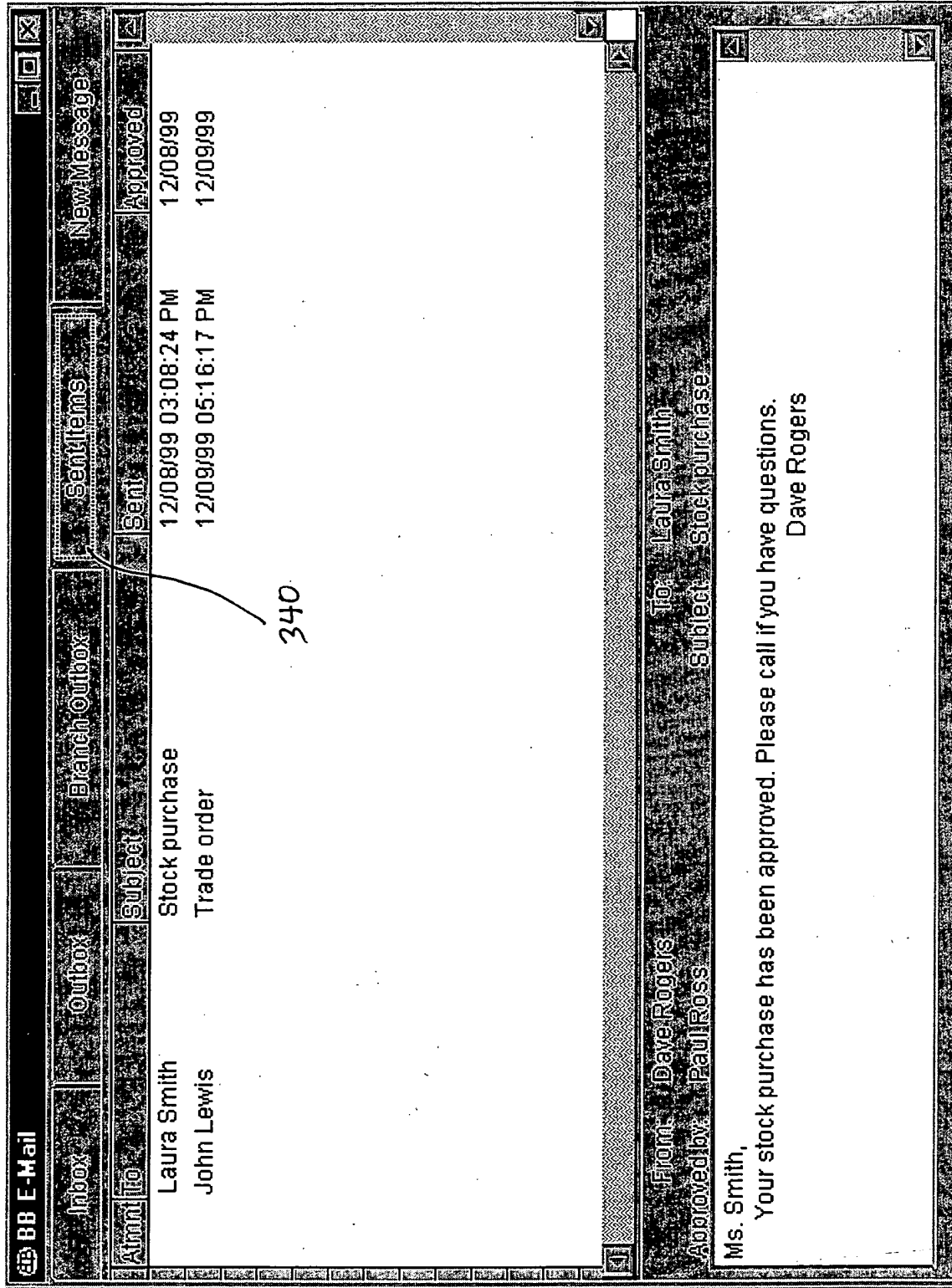


FIGURE 41

Inbox

Sent Items

New Message

Branch Outbox

Find Address

Attach

Send

To: Laura Smith

CC:

BCC:

Subject: Trade Order

These are my recommendation for your securities purchases for 401K plan.
Dave Rogers

FIGURE 44



FIGURE 45

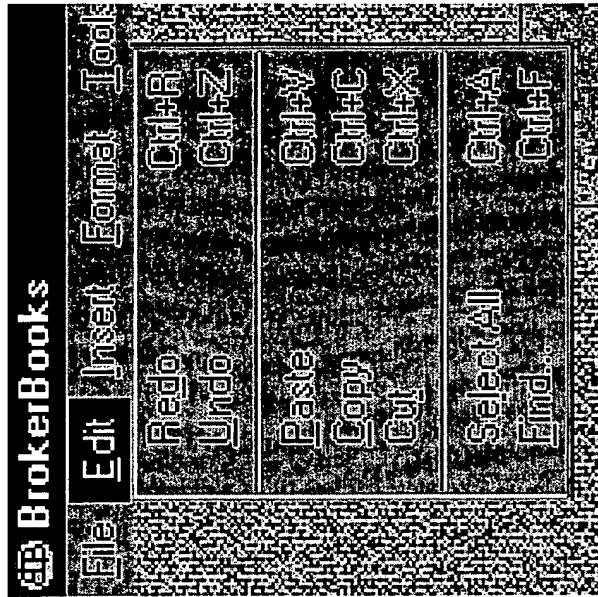


FIGURE 46

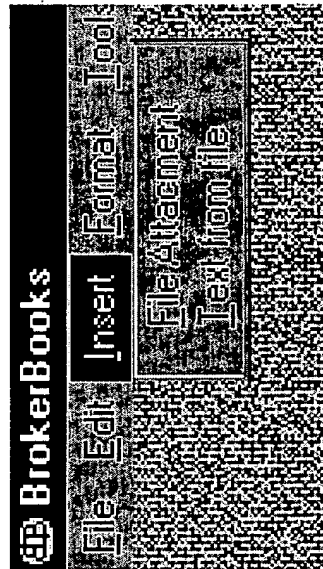


FIGURE 47

FIGURE 50

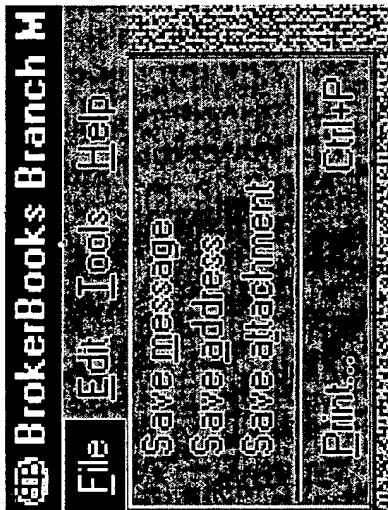


FIGURE 51

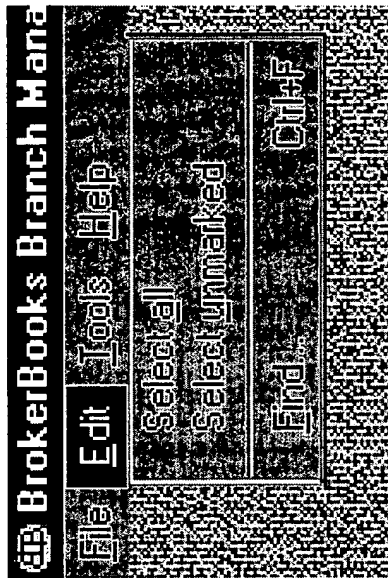


FIGURE 52

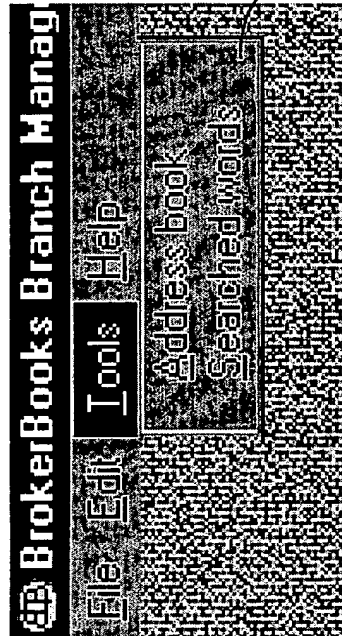


FIGURE 53

Inbox	Outbox	Sent Items	New Message	Check Incoming messages	Check outgoing messages
				Select all approved Select all unapproved	
Upload	Search	Approve	Reject	Download	
Attn: From:	Subject	Trade order	Received	Approved/Rejected	APR
Dave Rogers	392	394	396	398	R
390					
<p>From: Dave Rogers</p> <p>To: John Doe</p> <p>Subject: Trade order</p> <p>Approved by:</p> <p>John,</p> <p>I can guarantee 35% return on this investment.</p> <p>Dave</p>					

FIGURE 55



FIGURE 56

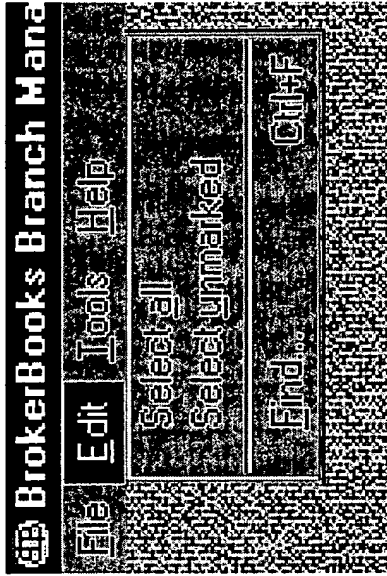


FIGURE 57

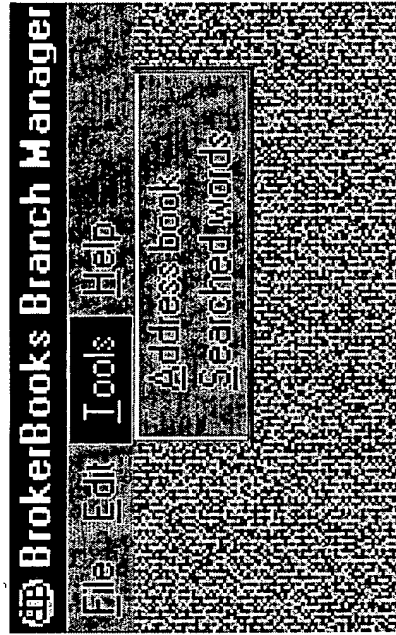


FIGURE 58

BB E-Mail

Inbox


Outbox


Sent Items


New Message


Check incoming messages

Check outgoing messages

 Send

 Attach

 Find Address

 Approve

To: Mary Smith

CC:

BCC:

Subject: Trade order

Ms. Smith,
Please contact me regarding the last trades.
Paul Ross

FIGURE 59